

FORM PTO-1390
(REV 01-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

180577-00144

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/501388

INTERNATIONAL APPLICATION NO.

PCT/CA03/00016

INTERNATIONAL FILING DATE

10 January 2003

PRIORITY DATE CLAIMED

12 January 2002

TITLE OF INVENTION

HEAT EXCHANGE TUBULAR REACTOR WITH HEAT PIPE

APPLICANT(S) FOR DO/EO/US

Vinh N. Le

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 9(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (**NOT EXECUTED**).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☒ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

EXPRESS MAIL

MAILING LABEL NUMBER EV 216143807US

DATE OF DEPOSIT July 12, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:

Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Kim Wright
(Typed name of person mailing paper or fee)

Kim Wright
(Signature of person mailing paper or fee)

U.S. APPLICATION NO. (if known, see 37 FR 1.5) 10/501388		INTERNATIONAL APPLICATION NO. PCT/CA03/00016		ATTORNEYS'S DOCKET NUMBER 180577-00144	
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21. <input checked="" type="checkbox"/> The following fees are submitted BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33 (1)-(4)\$100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>				CALCULATIONS PTO USE ONLY <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="height: 40px;"></td><td style="width: 50px;"></td></tr> <tr><td style="text-align: center;">920.00</td><td></td></tr> <tr><td style="height: 40px;"></td><td></td></tr> <tr><td style="height: 40px;"></td><td></td></tr> <tr><td style="height: 40px;"></td><td></td></tr> <tr><td style="text-align: right;">\$</td><td></td></tr> </table>				920.00								\$	
920.00																	
\$																	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$													
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$													
Total Claims	6-20 =	0	x \$18.00	\$													
Independent Claims	1 - 3 =	0	x \$86.00	\$													
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)				+ \$290.00													
TOTAL OF ABOVE CALCULATIONS =				\$920.00													
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.				\$													
SUBTOTAL =				\$													
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+													
TOTAL NATIONAL FEE =				\$													
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$													
TOTAL FEES ENCLOSED =				\$ 920.00													
				Amount to be refunded:													
				\$													
				charged:													
				\$													

a. ☒ A check in the amount of \$ 920.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 50-0540 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No.50-0540. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

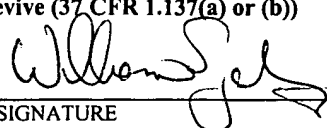
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

CUSTOMER NO. 31013

WILLIAM J. SPATZ
KRAMER LEVIN NAFTALIS & FRANKEL LLP
 919 Third Avenue
 New York, NY 10022

Date: July 12, 2004


 SIGNATURE

William J. Spatz
 NAME

30,108
 REGISTRATION NUMBER

CUSTOMER NO. 31013

DT02 Re PCT/PTO 12 JUL 2004
ATTORNEY DOCKET NO. 180577-00144

10/501388

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Le, Vinh N.
SERIAL NO. : To be assigned
FILED : Herewith on July 12, 2004
FOR : **HEAT EXCHANGE
TUBULAR REACTOR WITH
HEAT PIPE**
GROUP ART UNIT : To be assigned

EXPRESS MAIL

Express No. EV216143807US

Date: July 12, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kim Wright
Name
Kim Wright
Signature

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Kindly file the annexed papers indicated below:

- Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371
- Preliminary Amendment
- Declaration/Power of Attorney of Inventor (**unsigned**)
- Information Disclosure Statement
- PTO 1449 and References
- Published International Application WO 03/057358
- Check for \$920.00
- Return Receipt Postcard

Respectfully submitted,

KRAMER LEVIN NAFTALIS & FRANKEL LLP
Attorney for Applicant

Dated: July 12, 2004

By:

William J. Spatz
William J. Spatz
Registration No. 30,108
(212) 715-9257